

BAY AREA SERVICES NETWORK CASE MANAGEMENT SERVICES

The Contractor agrees to coordinate with Parole and the BASN providers for placement of approximately 2,000 parolees participating in substance abuse treatment and recovery services annually through BASN. In addition, CDCR-DARS expects the contractor to collaborate and work cooperatively with representatives of CDCR-DARS, Institutions, Division of Adult Parole Offices (DAPO), ADP and local County Alcohol and Drug Program Administrators. The Contractor and State mutually agree to the following:

A. Role of CDCR

- 1) CDCR-DARS maintains overall program administration of the BASN project which includes Case Management Services. CDCR-DARS is the primary liaison between the Contractor and all participating agencies and representatives of BASN. These agencies include CDCR headquarters, institutions, and parole staff; ADP; County Drug and Alcohol Program Administrators; and community-based treatment providers.
- 2) Parole Region II (Bay Area region) provides office space and complimentary furnishings (one desk, one desk chair, one side chair, one locking file drawer and one telephone) to the contractor. DAPO is the primary division that provides ongoing parolee referrals to the Contractor for screening, referral, and placement in community-based substance disorder treatment providers. DAPO is the ultimate division to approve or deny placement for substance abuse treatment.

B. Role of Contractor

The Contractor is expected to develop and implement a parolee substance abuse case management program that must include the delivery of the following program services and technical services.

1) Program Services

- a. Participant Screening, Referral, and Placement. The purpose of the initial screening interview is to assess the severity of need the inmate or parolee presents, and to determine the most appropriate placement referral.
 - (1) The primary location for these interviews will be in CDCR parole field unit offices in the nine (9) BASN counties. The Contractor must maintain regular office hours between 8 a.m. to 5 p.m. (at a minimum of 30 hours per week) in a parole field unit office in each of the 9 BASN counties. Interviews may also be conducted at county jails, and occasionally other designated locations deemed appropriate by CDCR-DARS.
 - (2) Although referrals will primarily originate from the Parole Agent, the Contractor may use various outreach strategies to generate referrals for BASN substance abuse treatment services.
 - (3) The Contractor Case Manager will conduct initial interviews of parolees or inmates whose eligibility has been verified and who are referred for BASN

services by a Parole Agent. The screening interview will not be a full assessment of addiction severity and may be conducted using a standardized form that is reviewed and approved by CDCR-DARS. The assessment will include the participant's need for detoxification and/or other health care and related treatment. The Contractor is expected to annually complete a minimum of 2,000 screening interviews.

- (4) Upon completion of screening interviews, the contractor refers participants to BASN substance abuse treatment providers for placement wherein the treatment provider conducts full assessment and develops the participant's treatment plan. Final approval for each parolee's treatment placement rests with the Parole Agent.

The Contractor is expected to annually refer for substance abuse treatment placement a minimum of 2,000 parolees into the BASN contracted programs.

- b. Participant Contacts. The purpose of participant contact is to ensure the appropriateness of treatment placement, review the participant's progress, assist with the participants' adjustment on parole and in treatment, facilitate referrals to other programs and services as needed, and maintain an effective working relationship with the treatment providers and Parole.

- (1) The Contractor will have contact with BASN participants no less than twice a month until completion of program or when the parolee is no longer a BASN participant. These contacts may occur at the community substance abuse treatment facility, at the parolee's home, at the parole field units or in the community.
- (2) Parolee case management and case planning are to be conducted in coordination with the Parole Agent.
- (3) The Contractor must be easily accessible and available to BASN participants, providers, CDCR personnel and county staff by maintaining regular office hours between 8 a.m. to 5 p.m. (at a minimum of 30 hours per week) at the Parole field offices. It is important to allow the maximum amount of time necessary to field staff to develop and maintain a successful program.
- (4) The Contractor must provide substance abuse treatment advocacy to each BASN participant and provide linkage to each parolee for all appropriate services available through the BASN and through other funded services, as needed, such as other community resources (i.e. Employment Development Department specialist).
- (5) The Contractor will show evidence of collaborations that contribute toward a seamless continuum of care for the target population to include but not be limited to participating in strategies or client retention with county staff and treatment providers.

- c. Coordination and collaboration with participating agencies. The purpose of maintaining continuous outreach to parole field units regarding BASN program

and available services is to ensure that these resources will generate referrals to the program. Equally important is maintaining quality relationships with all partners of the BASN project.

- (1) The Contractor must maintain frequent association with the parole field units to ensure that each will generate enough referral to comply with the goal of screening and placing a minimum of 2,000 parolees in substance abuse treatment.
 - (2) The Contractor must attend all County BASN team meetings held quarterly, BASN Administrators' meetings annually and various other meetings as requested by CDCR-DARS necessary for the operation of the project. These meetings are usually held in one of the Bay Area counties or occasionally in Sacramento.
 - (3) The Contractor must regularly attend parolee orientations required by CDCR.
- d. Parole Agent Contacts. The purpose of Parole Agent contacts is to provide advance information to the agent regarding any anticipated case changes and treatment progress of the BASN participant. Equally important is maintaining linkage to generate continued referral to the BASN project.

The Contractor will provide monthly written documentation to the Parole Agent regarding the BASN participant. Confidentiality requirements of alcohol and drug abuse client data, in accordance with the Federal Regulations governing "Confidentiality of Alcohol and Drug Abuse Patient Records" (42 CFR, Part 2) and the Health Insurance Portability and accountability Act of 1996 (HIPAA, 45 CFR. Parts 160& 164) shall be fully adhered to.

- e. Transportation Services. The Contractor may provide transportation services to assist participants in their transition from parole field units, or the community to substance abuse treatment programs. The types of transportation may include local public transportation.
- f. Employment and Housing Resource Development and Referral. The Contractor shall develop employment and housing resources and linkages suitable for BASN participants and assist treatment providers in placing participants in such employment and housing at program completion or the appropriate times during treatment.

2) Technical Services

- a. Training Sessions. The Contractor will provide initial orientation for all new Contractor staff hired and on-going in services training for all other Contractor staff that serves the BASN project. Training may include CDCR laws, regulations, policies, and procedures. The contractor will conduct a minimum of one project training session each year not to exceed four hours for participating agencies (such as CDCR institutions and parole staff County Alcohol and Drug Administration and treatment providers).

b. Project Reports.

- (1) Monthly Progress Reports. The Contractor will submit monthly progress reports of all activities during the previous month to CDCR-DARS. Information provided in the monthly report shall include, but not be limited to the number of
- a) Screenings,
 - b) Institutional referrals,
 - c) Parole referrals,
 - d) Individuals wanting treatment,
 - e) Program completions,
 - f) Participant contacts,
 - g) Parole revocation,
 - h) Transportation provided,
 - i) Residential admissions and discharges,
 - j) Outpatient admissions and discharges,
 - k) Detoxification admissions and discharges,
 - l) Sober-living environment admissions and discharges,
 - m) Unduplicated participants served,
 - n) Employment referrals,
 - o) Housing referrals,
 - p) Participants employed,
 - q) Transferred to other funding sources, and
 - r) Participant follow-ups after BASN program completion.

The monthly reports will also consist of a narrative portion describing project activities, any upcoming major events and activities, problems encountered, plans to resolve problems, and innovative or successful project implementation by the 15th of every month.

- (2) Self-evaluation and Outcomes Report. The Contractor shall submit after completion of each project year a self-evaluation and outcomes report describing results of goals and objectives outlined in the Work Plan. This report will be submitted to CDCR-DARS 60 days after the end of the fiscal year.
- (3) Case Histories. The Contractor will maintain written case histories of representative BASN participants. The case histories must include, but not be limited to first name, gender, race, age, education, employment, marital status, number of children, drug history, medical history, mental health issues, criminal history, previous substance abuse treatment episodes, treatment referrals, and substance abuse treatment prognosis.
- (4) Other Reports. Other reports, information, writings, summary documents, press releases, and data or materials to be released to the public, news media or other professional groups shall be reviewed and approved by CDCR-DARS prior to dissemination.

- c. Record Keeping. The Contractor must maintain complete case files on all participants. These files are to be located in a secure file storage area and not accessed by parolees, other than the subject of the file. At a minimum files are to include: initial screening form; treatment placement plans and revisions with date of placement in treatment; identification of treatment provider; record of subsequent placements in treatment and/or modality changes, including dates and provider identification; progress notes; dates and disposition on discharge from treatment and from BASN; the disclosure form; authorization to release information, and other participants information required by CDCR-DARS.

CDCR-DARS will conduct quality assurance reviews. All other confidentiality requirements of alcohol and drug use client data, in accordance with the Federal Regulations governing "Confidentiality of Alcohol and Drug Abuse Patient Records" (42 CFR, Part 2) and the Health Insurance Portability and Accountability Act of 1996 (HIPAA, 45 CFR. Parts 160& 164) shall be fully adhered to.

- d. Management Information System (MIS). Maintain a computerized database system to collect program and participant data as approved by CDCR. The data file shall include, but not be limited to data fields identified in the Parolee Services Network/Central Intake Unit (PSN/CIU) Client Admission Form (Attachment 10) and PSN Transfer/Discharge Form (Attachment 11). The MIS data file shall be submitted to CDCR, Research on a monthly basis and due on the 20th day of the following month.

The Contractor will have procedures to ensure and verify the validity of the data and to protect the data from unauthorized access and/or destruction due to negligence, malice, or disaster.

The Contractor will assist CDCR and any designated evaluators in any additional data collection efforts and program analysis as deemed appropriate and necessary by CDCR-DARS.

Additionally, based on data collected, the Contractor will inform the treatment provider of the number of remaining days of service for which the participant is eligible before reaching the 180-day limit.

C. Organizational Overview

1) Organizational and Administrative Experience and Knowledge

- a. The Contractor should be an organization that has recent (within the last five years) experience and knowledge in administering and providing case management service in the substance abuse treatment field for parolees as described in Section II.F "Target Population" or related population.
- b. Administrative experience should include all administrative functions of a project, including fiscal, accounting, budgets, personnel, length of time, and contract or grant management.

2) Key Administrative Staff Experience and Knowledge

- a. The Contractor's key administrative staff should have experience administering a case management system similar in size, scope, funding and length of time as outlined in this scope within the last five (5) years. Key administrative staff is an individual who performs at the Project Director level or above in the organization, and has decision-making authority in an administrative area of the organization (e.g. Chief Executive Officer, Director of Criminal Justice Programs, Fiscal Officer, etc.).
- b. Letters of reference and resumes of key administrative staff shall be reviewed and approved by CDCR-DARS prior to contract execution and for replacement personnel during the life of the contract.

3) Organizational structure

The Contractor shall provide organizational charts that reflect the chain of command for the Case Management Service and the structure of the organization.

D. Staffing Requirements

1) Contractor Key Program Staff Qualifications and Duties

The Contractor will be responsible for maintaining administrative integrity of the program through the management of qualified and competent staffing. The activities and tasks will include, but not be limited to, staff recruitment, training, supervision, and consistent maintenance of at least the following staff positions:

- Project Manager (full-time);
- Case Management Staff Supervisor (full-time);
- Case Managers (no less than nine (9) full-time);

In addition, the contractor may identify in its budget any positions deemed as being necessary to perform its contracted functions, as identified in Exhibits B-2 and B-3 "Budget Proposals." Clerical Support must also be provided. The costs associated with staff positions must be presented on the attached required Budget Proposal and Summary pages (see Exhibits B-2 through B-4).

Position descriptions and minimum qualifications for these positions shall conform to the requirement below; however, actual classification names may vary. The following section gives an overview of the staff positions and staffing requirements for the program:

- a. The Project Manager will be the staff person with overall management responsibility for the delivery of contract services. Under the direction of CDCR-DARS, this position will plan, organize, direct, and coordinate all case management services functions. The staff in this position must meet one of the following patterns of experience and education:

- (1) A Master's degree in public health, behavioral health, or a related health or social sciences field and the equivalent of two years of full-time experience in a paid position with responsibility for management of a substance abuse treatment program providing services to criminal justice population,

OR

- (2) A combination of full-time education towards a Bachelor's degree at an accredited educational institution in a health or social services field and full-time paid experience in a position with responsibility for management of a substance abuse treatment or services program providing services to criminal populations totaling seven (7) years.

- b. The Case Management Staff Supervisor is responsible for the efficient management of casework functions and the supervision of the case managers. The Supervisor will monitor the case management methodology and resource development activities of the case managers; assist with difficult cases; and engage in ongoing communication with CDCR staff, community-based treatment providers and County Alcohol and Drug Program staff. The staff in this position must meet one of the following patterns of experience and education:

- (1) A Master's degree in public health, social work, clinical psychology, or a related health or social sciences field from an accredited educational institution, and the equivalent of at least one (1) year of full-time experience in a paid position supervising substance abuse treatment program staff serving criminal justice population,

OR

- (2) A combination of full-time education towards a Bachelor's degree at an accredited educational institution in a health or social services field and the equivalent of two (2) years of full-time paid experience supervising substance abuse program service delivery staff serving criminal justice population.

- c. The Case Manager is responsible for screening and placing referred inmates and parolees; coordinating community services for participants; monitoring progress of program participants; developing resources to employment and housing; referring participants to employment and housing resources; maintaining project documents and records; visiting treatment programs and participating in group counseling sessions; providing follow-up status of participants completing BASN program; and engaging in ongoing communication with program participant, CDCR personnel, and community-based treatment providers, county and ADP personnel by participating in team and other essential meetings. The staff in this position must meet one of the following patterns of experience and education:

- (1) A Bachelor's degree in health or social sciences from an accredited educational institution and the equivalent of at least one (1) year of paid experience providing substance abuse treatment services to criminal justice population,

OR

- (2) The equivalent of graduation from high school, plus a certificate in substance abuse treatment or at least 12 hours of completed course work and a training plan towards obtaining such a certificate, plus the equivalent of two (2) years of paid experience providing substance abuse treatment services to a criminal justice population.

2) Staffing Considerations

- a. Staff professionalism will be measured by review of hiring procedures, personnel files, disciplinary actions, and CDCR adverse actions and CDCR-DARS will monitor contractors and subcontractors for these objectivities.

CDCR acknowledges that recovering staff contributes to a meaningful program delivery and increase the parolee population acceptance of the program. Refer to Exhibit D for the hiring of ex-offenders.

- b. The case manager work force will reflect the ethnic and gender diversity of the BASN participants.
- c. Each key program staff position must be designated by the Contractor prior to contract execution.
- d. Vacancies to any of the key program staff positions must be brought to the immediate attention of CDCR-DARS. The Contractor can fill temporary vacancies, defined as a vacancy of less than 30 days, internally by temporary reassignment of existing, qualified staff. Vacancies in excess of 30 days require the immediate recruitment of new, qualified staff.
- e. The Contractor must develop duty statements for the above staff positions and provide a detailed staffing plan necessary to meet contractual obligations. This plan must be amended as necessary and must include but not be limited to the Contractor's approach, strategy, staffing design, staffing policies, staff evaluation, and staffing implementation.

E. Initial Work Plan

The Contractor shall prepare the Initial Work Plan, and incorporate the Final Work Plan into the contract that covers the period December 1, 2009 through June 30, 2011. The Initial Work Plan will demonstrate the Contractor's readiness to start operations and operate the case management services for BASN. The plan must describe Project Goals and Objectives for the two (2) year period and activities of tasks to be undertaken and persons or positions responsible for such activities or tasks, including milestones necessary to accomplish final results. The Initial Work Plan should include but not be limited to the following objectives:

- 1) Transition of contract with prior contractor;
- 2) Staff recruitment, training, development, and cross training;

- 3) Cross training of program participants (Parole staff, Community-based treatment providers, and other significant entities);
- 4) Coordination plans with Parole staff, county BASN coordinators; and state agencies (CDCR and ADP);
- 5) MIS, participant records, reporting system development and maintenance;
- 6) Fiscal systems development, reporting, and maintenance;
- 7) Plans for Work Plan revisions;
- 8) Development of performance objectives for participants placed in Community treatment services;
- 9) Case management services to be provided such as client assistance with social services, employment, and housing;
- 10) Transition plan to a contractor successor.

The Contractor in collaboration with CDCR-DARS and ADP will finalize Work Plan. The Final Work Plan must be completed and submitted 60 days after the contract award. The completed plan will be reviewed and approved by both Departments within 30 days of submission.

The Final Work Plan shall be amended as needed during the course of the project.

F. CDCR Contact Information

Should questions or problems arise during the term of this contract, the contractor should contact the following offices:

Billing/Payment Issues:

- Headquarters Accounting Office
Phone Number: (916) 255-2042
FAX Number: (916) 255-5418

Scope of Service/Performance Issues:

- Division of Addiction and Recovery Services
Phone Number: (916) 327-3707
FAX Number: (916) 322-1453

General Contract Issues:

- Office of Contract Services
Phone Number: (916) 255-6191
FAX Number: (916) 255-6187